

03/27/01  
Jc772 U.S. PTO

03/27/01 09/817058

<b>UTILITY PATENT APPLICATION TRANSMITTAL</b>  <i>(Only for new nonprovisional applications under 37 CFR 1.53(b))</i>		Attorney Docket No. 401142	
		First Inventor TADA et al.	
		Title Optical Modulator, Method For Fabricating The Same, And Photonic Semiconductor Device	
		Express Mail Label No.	
<b>APPLICATION ELEMENTS</b>		<b>ADDRESS TO:</b> Assistant Commissioner for Patents Box Patent Application Washington, DC 20231	
1. <input checked="" type="checkbox"/> Utility Patent Application Transmittal Form 2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. 3. <input checked="" type="checkbox"/> Specification (including claims and abstract) [Total Pages 42] 4. <input checked="" type="checkbox"/> Drawings [Total Sheets 22] 5. <input checked="" type="checkbox"/> Combined Declaration and Power of Attorney [Total Pages 3] a. <input checked="" type="checkbox"/> Newly executed b. <input type="checkbox"/> Copy from prior application [Note Box 6 below] i. <input type="checkbox"/> Deletion of Inventor(s) Signed statement attached deleting inventor(s) named in the prior application 6. <input type="checkbox"/> Incorporation by Reference: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b is considered as part of the disclosure of the accompanying application and is hereby incorporated by reference. 7. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76 8. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix) 9. Nucleotide and/or Amino Acid Sequence Submission a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> Paper Copy c. <input type="checkbox"/> Statement verifying identity of above copies 10. <input type="checkbox"/> Applicant requests early publication. (include publication fee under 37 CFR 1.18(d))		<b>ACCOMPANYING APPLICATION PARTS</b> 11. <input checked="" type="checkbox"/> Assignment Papers (cover sheet and document(s)) 12. <input type="checkbox"/> 37 CFR 3.73(b) Statement (when there is an Assignee) 13. <input type="checkbox"/> Power of Attorney 14. <input type="checkbox"/> English Translation Document (if applicable) 15. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS) <input checked="" type="checkbox"/> Form PTO-1449 <input checked="" type="checkbox"/> Copies of Listed Documents 16. <input checked="" type="checkbox"/> Preliminary Amendment 17. <input checked="" type="checkbox"/> Return Receipt Postcard (Should be specifically itemized) 18. <input checked="" type="checkbox"/> Certified Copy of Priority Document(s) 19. <input type="checkbox"/> Request & Certification Under 35 USC 122(b)(2)(B)(i) (Form PTO/SB/35 or its equivalent attached) 20. <input type="checkbox"/> Other:	
21. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information in (a) and (b) below:  (a) <input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part of prior application no. _____ Prior application information: Examiner _____ ; Group Art Unit: _____  (b) Preliminary Amendment: Benefit of earlier filing date - 35 USC 120. The Commissioner is requested to amend the specification by inserting the following sentence before the first line: "This is a <input type="checkbox"/> continuation <input type="checkbox"/> divisional <input type="checkbox"/> continuation-in-part (CIP) of <input type="checkbox"/> Application No. _____, filed on _____, which is incorporated by reference." <input type="checkbox"/> International Application No. _____, filed on _____, which designates the U.S., and which is incorporated by reference."			

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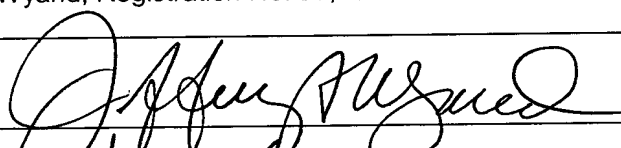
## UTILITY PATENT APPLICATION TRANSMITTAL

Attorney Docket No. 401142

APPLICATION FEES				
BASIC FEE				\$710.00
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	
Total Claims	20 -20=	0	x \$18.00	\$0.00
Independent Claims	3 - 3=	0	x \$80.00	\$0.00
<input type="checkbox"/> Multiple Dependent Claim if applicable			+\$270.00	\$
Total of above calculations =				\$710.00
Reduction by 50% for filing by small entity =				\$( )
<input checked="" type="checkbox"/> Assignment fee if applicable			+ \$40.00	\$40.00
<input type="checkbox"/> Early publication fee if applicable			+ \$300.00	\$
TOTAL =				\$750.00

22. ☐ Please charge my Deposit Account No. 12-1216 in the amount of \$ .
23. ☒ A check in the amount of \$750.00 is enclosed.
24. The Commissioner is hereby authorized to credit overpayments or charge any additional fees of the following types to Deposit Account No. 12-1216:
- a. ☒ Fees required under 37 CFR 1.16.
- b. ☐ Fees required under 37 CFR 1.17.
25. ☐ The Commissioner is hereby generally authorized under 37 CFR 1.136(a)(3) to treat any future reply in this or any related application filed pursuant to 37 CFR 1.53 requiring an extension of time as incorporating a request therefor, and the Commissioner is hereby specifically authorized to charge Deposit Account No. 12-1216 for any fee that may be due in connection with such a request for an extension of time.

## 26. CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number: 23548  <b>23548</b> PATENT TRADEMARK OFFICE		<input checked="" type="checkbox"/> Jeffrey A. Wyand, Reg. No. 29,458 Leydig, Voit & Mayer, Ltd. 700 Thirteenth Street, N.W., Suite 300 Washington, D.C. 20005-3960 (202) 737-6770 (telephone) (202) 737-6776 (facsimile)
Name	Jeffrey A. Wyand, Registration No. 29,458	
Signature		
Date	March 27, 2001	

ApTml (Rev. 11/13/2000)